

Small Business Administration

Section 1: Highlights of Agency E-Government Activities

A. Enhanced Delivery of Information and Services to the Public - Sec. 202(g)

Section 202(g) of the E-Gov Act requires agencies to provide information on how electronic Government is used to improve performance in delivering programs to constituencies. In no more than 250 words, describe one IT agency activity or initiative that enhances the delivery of information and services to the public and others, or makes improvements in government operations. This example should highlight how electronic government improved the effectiveness, efficiency, and quality of services provided by your agency.

SBA assists the American people grow and cultivate businesses while creating jobs by providing resources and tools for businesses, non-profit organizations, homeowners, and renters. One of the initiatives that provides enhanced delivery of information and services to the public is the Agency's online presence. SBA teams are working hard to ensure SBA achieves process improvements that are sustainable, feasible, and that impact core goals. LINC (Leveraging Information and Networks to access Capital) is a new online referral tool to connect small business borrowers with participating SBA Lenders. Prospective borrowers complete a short online questionnaire and the questionnaire responses are forwarded to participating SBA Lenders that operate within the small business' county. If lenders are interested in the referral, the lender and prospective borrower's contact information will be exchanged. Small businesses can use LINC to identify potential lenders in their communities - business information is sent to a pool of prospective SBA Lenders in their area. Lenders will review the information provided and if there appears to be a possible match with one or more of the loan products they offer, the business will receive an email with the lender's contact information. Similarly, the lender will receive an email with the prospective borrower's contact information. Additionally, SBA's local District Offices and Resource Partners provide free business consulting and low-cost training options. More than 300 lenders participate in LINC throughout all 50 states and U.S. territories. SBA Lenders participate in SBA's Microloan, Community Advantage, 504, and 7(a) Loan Programs.

B. Public Access to Electronic Information - Sec. 207(f)(1)(B)

Section 207(f)(1)(B) of the E-Gov Act requires that agency websites assist public users to navigate agency websites, including the speed of retrieval of search results and the relevance of the results. Provide the updated URL(s) that contains your agency's customer service goals and describes activities that assist public users in providing improved access to agency websites and information, aid in the speed of retrieval and relevance of search results, and uses innovative technologies to improve customer service at lower costs. For example, include the URL to your agency's Customer Service Plan.

Public Facing Agency URL(s)	Brief Explanation (if necessary)
http://www.sba.gov/about-sba/sba_performance/open_government/other_plans_reports/sba_customer_service	--SBA Customer Service Plan

Public Facing Agency URL(s)	Brief Explanation (if necessary)
e_plan	
. https://www.sba.gov/about-sba/sba-performance/strategic-planning/sba-strategic-plan-fiscal-years-2014-2018	-- SBA Strategic Plan
. http://www.sba.gov/about-sba/what_we_do	-- SBA.s Mission, History, Authority, and Resource Guide
. https://www.sba.gov/about-sba/sba-performance/open-government/other-plans-reports/sba-open-government-plan-2012-2014	-- SBA Open Government Plan
. https://www.sba.gov/about-sba/sba-performance/open-government/other-plans-reports/sba-open-government-report-2014	-- SBA Open Government Report
. https://www.sba.gov/about-sba/sba-performance/open-government/digital-sba	-- SBA.s Digital Strategy
. http://www.sba.gov/data	-- SBA.s Open Data Policy

Section 2: Compliance with Goals and Provisions of the E-Gov Act

A. Performance Integration - Sec. 202(b)

The E-Gov Act requires agencies to develop performance metrics that demonstrate how electronic government supports agency objectives, strategic goals, and statutory mandates. In no more than 250 words, describe what performance metrics are used and tracked for IT investments and how these metrics support agency strategic goals and statutory mandates. Please discuss performance metrics that focus on customer service, agency productivity, innovative technology adoption and best practices. If applicable, include a description of your agency's evaluation model and how it is used. Provide applicable URL(s) for performance goals related to IT.

The Agency assesses performance at both the program and agency-wide levels. The SBA uses the Annual Performance Report and Summary of Performance and Financial Information to report the agency's performance with respect to its mission. SBA's FY 2014 Annual Performance Report and SBA's FY 2014 Summary of Performance and Financial Information can be found at: <https://www.sba.gov/about-sba/sba-performance/performance-budget-finances> The SBA has linked performance goals to key stakeholders, private sector, other agencies, and internal operations through strategic goals and objectives. For IT investments, the SBA 2014-2018 Strategic Plan, identifies strategic objective 3.1 (Program Operations) as the performance objective for the Office of the Chief Operating Officer. The objective aims to "streamline, simplify, and strengthen SBA's core programs and operations to ensure that they are high performing, effective, and relevant to the needs of the small business community." The SBA tracks IT performance through a customer satisfaction survey and security incidents reported through US CERT (United States Computer Emergency Readiness Team). The FY 2015 performance reports will be available in February 2016.

B. Accessibility - Sec. 202(c) and (d)

The E-Gov Act requires agencies to consider the impact of implementing policies on persons without access to the internet, and ensure accessibility to people with disabilities. Provide the URL(s) for your agency's website which describes actions taken by your agency in accordance with Section 508 of the Rehabilitation Act of 1973 (29 U.S.C. 794d).

Public Facing Agency URL(s)	Brief Explanation (if necessary)
http://www.sba.gov/about-sba/sba_performance/open_government/about_the_sba_gov_website/accessibility	-- SBA 508 Accessibility link

C. Government-Public Collaboration - Sec. 202(e)

The E-Gov Act requires agencies to sponsor activities that use information technology to engage the public in the development and implementation of policies and programs. In no more than 250 words, describe one example of how your agency utilized technology to initiate government-public collaboration in the development and implementation of policies and programs.

One of the initiatives SBA utilizes to promote government-public collaboration is via the Agency's online presence: www.sba.gov. SBA.gov has made several enhancements in the past few years to ensure enhanced performing site (page load and search) that allows site users to quickly search and locate their desired online information. An improved navigation format and flattened Information Architecture, in addition to new tools and features have provided users new options for their search requirements and has consistently generated user satisfaction scores at their highest levels to date. In addition, SBA's Digital Strategy continues - content share APIs and other key data APIs have already been made available to the public. Additionally, through new sections of the site, including Blogs, Spanish, Social Media feeds and online campaigns, in addition to the online newsletters, SBA is able to more efficiently direct users to the information they need, harnessing a high visit rate and thereby increasing retention. Approximately 25% of users have read an SBA blog which means the potential for strategically communicating SBA's programs and services in a timely manner increases. In addition, SBA has embarked on a mobile strategy. Currently approximately 25% of site visitors accessing via a mobile device, opportunities to provide access to a growing mobile user-base further provides a positive return on the overall investment.

D. Credentialing - Sec. 203

The E-Gov Act seeks to achieve interoperable implementation of electronic signatures for appropriately secure electronic transactions with Government. In no more than 250 words, describe current activities your agency is undertaking to achieve the interoperable implementation of electronic credential authentication for transactions within the Federal Government and/or with the public (e.g. agency implementation of HSPD-12 and/or digital signatures).

Homeland Security Presidential Directive 12 (HSPD-12) falls within the scope of Identity and Access Management (IAM). The implementation of HSPD-12 will ensure that identification of government employees and contractors is reliable and secure. The establishment of the Personal Identity Verification (PIV) credential as part of a broader enterprise solution enables common service capabilities in secure and reliable transactions. Further, it expedites SBAs ability to enable IT solutions that directly address business needs for disaster response, small business services such as electronic workflow services, and reduction in other existing investments for help desk operations and password management. E-Authentication falls within the scope of IAM. This initiative expands e-Government by providing users access to online services that require authentication, using a solution that is secure and convenient for customers, resulting in an improvement in the taxpayer experience. The IAM initiative provides a robust, secure, centralized solution that automates the provisioning and de-provisioning of user identities, and manages each aspect of the identity lifecycle. By automating these services SBA integrates the independent management frameworks currently SBA applications. This initiative will provide a secure and operationally focused security services that utilize industry proven solutions and adhere to well defined industry and federal standards.

E. USA.gov activities - Sec. 204 and Sec. 207(f)

In accordance with Section 204 of the E-Gov Act, www.USA.gov serves as an integrated internet-based system for providing the public with access to government information and services. In accordance with Section 207(f)(3), provide the URL(s) your agency's activities on www.USA.gov.

Public Facing Agency URL(s)	Brief Explanation (if necessary)
https://www.usa.gov/federal-agencies/small-business-administration	-- SBA USA.Gov link

F. eRulemaking - Sec. 206

The E-Gov Act seeks to assist the public, including the regulated community, in electronically submitting information to agencies under Federal requirements, by reducing the burden of duplicate collection and ensuring the accuracy of submitted information. In no more than 250 words, provide a description of your agency's use of online electronic regulatory submission capabilities, specifically the usage of www.Regulations.gov and the Federal Docket Management System (FDMS).

SBA is an active participant in electronic rulemaking. eRulemaking is a collaborative, inter-agency effort whose purpose is to establish a common, automated, and integrated repository for managing Federal rulemaking and non-rulemaking actions that follow a structured notice and comment process. The project consolidates the dockets of various departments and agencies and centrally manages them through a web-based environment offering services such as one-stop access, search capabilities, public comment submission, email notification, bookmarking, and electronic records management. During Fiscal Year 2015, SBA created 12 rulemaking dockets and three dockets for notices seeking comments through the Federal Docket Management System (FDMS) for inclusion on regulations.gov. Each of the rulemaking dockets generated an average of 152 comments per docket. This represents a tenfold increase in public participation over Fiscal Year 2014. Each of the notice dockets generated an average of 43 comments.

G. National Archives Records Administration (NARA) Recordkeeping - Sec. 207(d-e)

The E-Gov Act requires agencies to adopt policies and procedures to ensure that chapters 21, 25, 27, 29, and 31 of title 44, United States Code, are applied effectively and comprehensively to Government information on the Internet and to other electronic records. In no more than 250 words, describe your agency's adherence to NARA recordkeeping policies and procedures for electronic information online and other electronic records. Additionally, please indicate the number of electronic records that have been scheduled with NARA and any pending scheduling for electronic systems at your agency.

Presently, SBA has 29 approved electronic systems. During fiscal year 2015, SBA had no pending or new electronic records scheduled with the National Archives and Records Administration (NARA).

H. Freedom of Information Act (FOIA) - Sec. 207(f)(A)(ii)

The E-Gov Act requires agency websites to include direct links to information made available to the public under the Freedom of Information Act. Provide the updated URL for your agency's primary FOIA website.

Public Facing Agency URL(s)	Brief Explanation (if necessary)
http://www.sba.gov/about-sba/sba_performance/open_government/foia	-- SBA FOIA link

I. Information Resources Management (IRM) Strategic Plan - Sec. 207(f)(A)(iv)

The E-Gov Act requires agency websites to include the strategic plan of the agency developed under section 306 of title 5, US Code. Provide the updated URL to your agency's IRM Strategic Plan. This plan should encompass activities in FY14. If your agency does not have an updated plan, please provide the URL to the most recent plan and indicate when an updated plan will be available.

Public Facing Agency URL(s)	Brief Explanation (if necessary)
http://www.sba.gov/content/sba-irm-strategic-plan-final	-- SBA Information Resources Management (IRM) Plan . Updated plan is expected to be available in 2017

J. Research and Development (R&D) - Sec. 207(g)

If your agency funds R&D activities, provide the updated URL(s) for publicly accessible information related to those activities, and specify whether or not each website provides the public information about Federally funded R&D activities and/or the results of the Federal research.

Public Facing Agency URL(s)	Brief Explanation (if necessary)
https://www.sba.gov/category/advocacy-navigation-structure/research-and-statistics	-- SBA Research link
http://www.sba.gov/offices/headquarters/oca/resource/s/6827#	-- SBA Small Business Innovation Research (SBIR) link

K. Privacy Policy and Privacy Impact Assessments - Sec. 208(b)

The E-Gov Act requires agencies to conduct a privacy impact assessment; ensure the review of the privacy impact assessment by the Chief Information Officer, or equivalent official, as determined by the head of the agency; and if practicable, after completion of the review under clause, make the privacy impact assessment publicly available through the website of the agency, publication in the Federal Register, or other means. In no more than 250 words, describe your agency's adherence to this provision, including adherence to OMB's guidance pertaining to the use of IT to collect, maintain, or disseminate identifiable information, or when new systems are procured for this purpose. In addition, describe your agency's process for performing and updating privacy impact assessments for IT.

SBA conduct reviews of all FISMA systems to determine how information about the public is

handled when SBA uses IT systems to collect new information, or when agencies develop or buy new IT systems to handle collections of PII. The Privacy Threshold Analysis and Privacy Impact Assessments are used to identify privacy information stored and processed within the environment and discusses the controls in place designed to prevent harm resulting from the loss, misuse, or unauthorized access to or modification of privacy information. SBA is committed to protecting the privacy of information that is collected from the American people during the course of conducting business. SBA policy, through SOP 40 04 3 "Privacy Act Procedures," directs the Agency to conduct periodic reviews of how information is handled within SBA when information technology is used to collect information. Compliance with privacy guidance is considered whenever new systems are developed or new systems are acquired. SBA provides detailed guidance on Privacy Act activities at this URL: <http://www.sba.gov/about-sba-services/6752>

K2. Privacy Policy and Privacy Impact Assessment Links - Sec. 208(b)

In addition to the narrative provided above in section K., provide the updated URL(s) for your agency's privacy policy and the website where your agency's privacy impact assessments are available.

Public Facing Agency URL(s)	Brief Explanation (if necessary)
http://www.sba.gov/about-sba/sba_performance/open_government/about_the_sba_gov_website/privacy_policy	-- SBA Privacy Policy link
http://www.sba.gov/content/privacy-impact-assessments	-- SBA Privacy Impact Assessments link; In addition, SBA has the following Standard Operating Procedures (SOP) published in the Agency's intranet:

M. Agency IT Training Programs - Sec. 209(b)(2)

The E-Gov Act calls for agencies to establish and operate information technology training programs. The act states that such programs shall have curricula covering a broad range of information technology disciplines corresponding to the specific information technology and information resource management needs of the agency involved; be developed and applied according to rigorous standards; and be designed to maximize efficiency, through the use of self-paced courses, online courses, on-the-job training, and the use of remote instructors, wherever such features can be applied without reducing the effectiveness of the training or negatively impacting academic standards. In no more than 250 words, describe your agency's IT training program, privacy training program, cross-agency development programs, and competencies reviews for IT workforce.

The Federal Information Security Management Act (FISMA) of 2002 requires Federal agencies to provide mandatory periodic computer security awareness training to all individuals who are involved with the management, use, or operation of a Federal computer system, or those who have access to SBA's sensitive data. The goal of this training is to provide employees and contractors with an overview of computer security laws, regulations, and SBA policies. This

training provides users with a basic understanding of the need for information security and user actions to maintain security and to respond to suspected security incidents. Through this program SBA ensures that all employees and contractors are trained annually on Continuity of Operations (COOP), cybersecurity and privacy. SBA also provides portfolio management training to IT Investment Managers on budget submission processes, supporting tools (including eCPIC- Electronic Capital Planning and Investment Control) and related topics. Other training resources including a training calendar, procedures to request training and training opportunity announcements and information notices are provided to SBA employees on the internal portal: yes.sba.gov Additional training is available through SBA's Learning Management System (LMS) of the Talent Management Center (TMC). This new learning management system provides SBA employees with virtual 24/7 access to training opportunities to close competency gaps, to improve knowledge and skills, and to provide learning and career development opportunities. SBA also provides employee training for Telework which can be accessed at the following URL: <https://www.telework.gov/>